

Application form for Initial Access to Validation i.e. Approval of Provider's QA Procedures and Scope of Provision leading to QQI Awards

Introduction

The details in this application and the supporting documentation provided will be used by QQI to assess the continued capacity of your organisation to meet the criteria to provide quality education and training as a provider of a programme(s) leading to QQI awards.

There are seven sections to this application form:

| | |
|------------------|---|
| <i>Section 1</i> | <i>Provider Details and Profile</i> |
| <i>Section 2</i> | <i>Ownership, Management Structure and Control of the Provider</i> |
| <i>Section 3</i> | <i>Financial Viability and Resources</i> |
| <i>Section 4</i> | <i>Scope of Provision</i> |
| <i>Section 5</i> | <i>Statutory Declaration</i> |
| <i>Section 6</i> | <i>Identification and mapping of documentation to capacity criteria</i> |
| <i>Section 7</i> | <i>Mapping of updated QA Procedures to relevant QQI Guidelines</i> |

*This application form should be completed with reference to the **Initial Access to Validation - Application Guide**.*



This symbol occurs throughout this Application Form to indicate that specific evidence needs to be submitted with the application.

Submitting the application

A soft copy of the application must be uploaded to a secure folder which will be made available on request to QQI. It should be noted that the information contained therein can be shared with independent evaluators appointed to QQI.

Two copies of the application documentation must be submitted in separate ring binders, clearly labelled, to:

*QQI,
Provider Approval,
26/27 Denzille Lane,
Dublin 2.*

QQI reserves the right to seek any additional information from applicants that it considers relevant to an application.

Application Fee

For details of the fee payable, please refer to the QQI Schedule of Fees on QQI's website: www.qqi.ie.

Please notify QQI in advance of making your application so that you can be invoiced for the fee.



Section 1: Provider Details

1.1 Name

| | |
|---|--|
| <i>Name of Provider (legal entity):</i> | |
| <i>Registered Business Trading Name(s): (if different from above)</i> | |
| <i>Company Registration Number (CRO):</i> | |

1.2 Type of legal entity (✓ as appropriate)

| | | | |
|-----------------------------|--------------------------|--------------------|--------------------------|
| <i>Limited company</i> | <input type="checkbox"/> | <i>Partnership</i> | <input type="checkbox"/> |
| <i>Sole trader</i> | <input type="checkbox"/> | <i>Trust</i> | <input type="checkbox"/> |
| <i>Other (give details)</i> | <input type="checkbox"/> | | |
| <input type="text"/> | | | |
| <input type="text"/> | | | |

1.3 Provider Address

| | |
|-----------------------|--|
| <i>Postal Address</i> | |
| <i>Phone</i> | |
| <i>Email</i> | |
| <i>Website</i> | |

1.4 Details of applicant's parent company/organisation, if appropriate

| | | | |
|----------------------------|--|------------------|--|
| <i>Company Name</i> | | | |
| <i>Postal Address</i> | | | |
| <i>Phone</i> | | | |
| <i>Email</i> | | | |
| <i>Website</i> | | | |
| <i>Main Contact Person</i> | | <i>Job Title</i> | |

1.5 Contact details for enquiries on the application for initial access to validation

| | | | |
|-------------------------------|--|-----------------------|--|
| Contact Person for QQI | | | |
| <i>Full Name</i> | | | |
| <i>Position</i> | | | |
| <i>Phone (landline)</i> | | <i>Phone (mobile)</i> | |
| <i>Email</i> | | | |

1.6 Profile of provider organisation

Give a brief summary of the organisation's history and current context. This should describe:

- 1. how long the provider has been in operation and how long with QQI (or predecessor agencies HETAC / FETAC) [if applicable]*
- 2. the type and range of programmes to be offered*
- 3. the learner profile(s) catered for*
- 4. typical number of learners certified per year with other awarding bodies (if any)*
- 5. non QQI related activities*
- 6. why the provider wants to offer programmes leading to QQI awards*
- 7. the scope of provision¹ being sought*
- 8. other information you deem relevant for a panel in getting an understanding of how the organisation operates*

1. How long were you in operation and how long with QQI (or predecessor agency HETAC / FETAC) [if applicable]?

2. Please detail the type and range of programmes you offer currently and intend to submit for validation to QQI. Please specify discipline areas and the award type and level on the NFQ of each proposed programme.

3. Please detail the learner profile(s) you cater for and any planned changes to this in relation to proposed programmes.

¹ Scope of provision refers to a defined set of parameters within which a provider can then apply for programme validation. See section 4 below for these parameters.

4. Please detail the typical number of learners certified with other awarding bodies (if any)

5. Please identify and describe briefly any non QQI related activities in which you are involved

6. Please explain why you want to offer programmes leading to QQI awards



7. Please outline the scope of provision being sought

8. Please outline any other information you deem relevant to enable the panel to get a better understanding of how your organisation operates



Section 2: Ownership, Management Structure and Corporate Governance of the provider organisation

2.1 Details of all persons who own and / or direct the organisation.

| Beneficial Owner / Head of Organisation 1 | | | |
|--|--|----------------|--|
| Full Name | | | |
| Job Title | | | |
| Phone (landline) | | Phone (mobile) | |
| Email | | | |
| Contact Address (if different from provider address) | | | |

This person is best described as: (select one – and ✓ as appropriate)

| Role | ✓ as appropriate |
|---|------------------|
| Key Personnel/Executive | |
| Owner and a person who will exercise a degree of control or influence over the management or direction of the organisation, but who is not key personnel/executive | |
| Owner and a person who will not exercise a degree of control or influence over the management or direction of the organisation and who is not key personnel/executive | |
| Other Please specify | |
| Describe the role this person undertakes in relation to the entity | |
| Does / did this person have any other involvement with an education and training entity(s) in Ireland? | Yes No |
| If yes, please give details | |

| Probity: |
|---|
| Please provide details if any of the following are relevant to this person: Bankruptcy, court conviction leading to imprisonment, conviction of an offence relating to company law, fraud: |
| |

Please repeat this information for each beneficial owner if there are more than one.



| Beneficial Owner / Head of Organisation 2 | | | |
|--|--|----------------|--|
| Full Name | | | |
| Job Title | | | |
| Phone (landline) | | Phone (mobile) | |
| Email | | | |
| Contact Address (if different from provider address) | | | |

This person is best described as: (select one – and ✓ as appropriate)

| Role | ✓ as appropriate |
|---|------------------|
| Key Personnel/Executive | |
| Owner and a person who will exercise a degree of control or influence over the management or direction of the organisation, but who is not key personnel/executive | |
| Owner and a person who will not exercise a degree of control or influence over the management or direction of the organisation and who is not key personnel/executive | |
| Other Please specify | |
| Describe the role this person undertakes in relation to the entity | |
| Does / did this person have any other involvement with an education and training entity(s) in Ireland? | Yes No |
| If yes, please give details | |

| Probity: |
|---|
| Please provide details if any of the following are relevant to this person: Bankruptcy, court conviction leading to imprisonment, conviction of an offence relating to company law, fraud: |
| |

Please repeat this information for each beneficial owner if there are more than one.

2.2 Details of other persons with a lead role in the management and / or governance / quality assurance of the provider's activities.

| Influential non-owner 1– (e.g. Training Manager, QA Manager, Registrar etc) | | | |
|--|--|----------------|--|
| Full Name | | | |
| Job Title | | | |
| Phone (landline) | | Phone (mobile) | |
| Email | | | |
| Role in the organisation | | | |

This person is best described as: (select one – and ✓ as appropriate)

| Role | ✓ as appropriate |
|--|------------------|
| Key Personnel/Executive | |
| A person who will exercise a degree of control or influence over the management or direction of the organisation, but who is not key personnel/executive or an owner | |
| Other Please specify | |
| Describe the role this person undertakes in the provider | |

Please repeat this information for each influential non-owner if there are more than one.



| Influential non-owner 2 – (e.g. Training Manager, QA Manager, Registrar etc) | | | |
|---|--|-----------------------|--|
| Full Name | | | |
| Job Title | | | |
| Phone (landline) | | Phone (mobile) | |
| Email | | | |
| Role in the organisation | | | |

This person is best described as: (select one – and ✓ as appropriate)

| Role | <input type="checkbox"/> as appropriate |
|--|---|
| Key Personnel/Executive | <input type="checkbox"/> |
| A person who will exercise a degree of control or influence over the management or direction of the organisation, but who is not key personnel/executive or an owner | <input type="checkbox"/> |
| Other Please specify | <input type="checkbox"/> |
| Describe the role this person undertakes in the provider | <input type="checkbox"/> |

Section 3: Financial Viability and Resources

3.1 Financial Resources

In evaluating a provider's capacity to sustain the costs of providing and maintaining quality assured programmes of education and training, it is necessary for QQI to see evidence that the provider's financial resources are appropriate to its current and planned scope of provision.

| | | |
|--|------------------|------------------|
| Is funding of your current programme(s) sourced from fee income? | Yes | No |
| Is funding of your current programme(s) sourced from public resources? | Yes | No |
| If yes, please summarise here and tick the relevant funding stream(s) below: | | |
| | ✓ as appropriate | ✓ as appropriate |
| Momentum | | ETB / Solas |
| Springboard | | Skillnets |
| DYCA / ECCE | | BTEA |
| HE Tax Exemption | | Other |
| If other, please give details | | |
| If publicly funded, please outline the duration and the conditions under which funding is maintained. | | |
| Please supply the relevant information which has satisfied you that your financial resources are sufficient for your validated programmes e.g. | | |
| <ul style="list-style-type: none"> • Audited accounts • Letter from your auditors confirming that audited accounts are signed off for the last three financial years and are conformance with Irish company law (template available on www.qqi.ie). • Income and expenditure reports / projections. • Confirmation from funding organisation(s) giving details of stable funding arrangements. | | |

3.2 Insert Public Liability Insurance Details - *Supply policy details*



3.3 Current eTax Clearance Confirmation - *please supply evidence or access to ROS to verify current tax compliance.*



3.4 Compliance Statement

The Applicant certifies that it is in all material respects compliant with all relevant legislation and regulatory requirements applicable to the provision of education and training in Ireland, in particular (but so as not to derogate from the generality of the foregoing) all employment, health and safety, equality, data protection, and financial regulatory requirements insofar as same are applicable to the applicant's operations.

Section 4: Scope of Provision – Proposed Programmes

4.1 Programmes to be submitted for Validation by QQI

Scope of provision is defined by several parameters as set out below. It is relevant to an evaluation of quality assurance procedures as it describes the breadth and depth of a provider's programmes and the range of factors which need to be quality assured.

To specify your scope of provision, please complete the table below with reference to the programmes you propose to submit for validation by QQI:

| Awards to be available on Programmes | | | | |
|--|---------------------------|-----------------------------------|---|--------------------|
| Highest NFQ Level | Lowest NFQ Level | Award Classes (Major, SPA, Minor) | Domains of learning e.g. Healthcare, Business, Engineering, Construction, IT, ELT | |
| | | | | |
| Modes of Programme Delivery (✓ one or more as appropriate) | | | | |
| Face to Face only | Blended | Apprenticeship | f/t | p/t |
| | | | | |
| Collaborative Provision (✓ one or more as appropriate) | | | | |
| None | Yes, as first provider | Yes, as second provider | Yes, national | Yes, transnational |
| | | | | |
| Sites of Delivery (✓ one or more as appropriate) | | | | |
| Owned premises | Long term leased premises | On Customer Site | Rented space as required | |
| | | | | |

Section 5: Statutory Declaration

To be completed by Owner, Director or Principal Executive Officer of provider

I declare that the information provided in this Application Form and any attachments hereto is true and complete in all material respects and I fully understand that it may be an offence to deliberately furnish false, misleading or inaccurate information.

| | |
|--|--|
| <p>I make this solemn declaration conscientiously believing the same to be true for the satisfaction of Quality and Qualifications Ireland and pursuant to the Statutory Declarations Act, 1938.</p> <p>Signature: _____</p> <p>Name: _____</p> <p>Role: _____</p> | <p>Declared before me a Commissioner for taking Affidavit/Peace Commissioner Practising Solicitor this</p> <p>_____ day of _____ 20 ____ by</p> <p>_____</p> <p>who is personally known to me/is identified to me by</p> <p>_____</p> <p>at</p> <p>_____</p> <p>Commissioner for Oaths/Peace Commissioner/Practising Solicitor</p> |
|--|--|

Please ensure full and accurate responses have been provided to all questions



Checklist of documents for submitting with an application for Initial Access to Validation

| Evidence required | File name | File format (e.g. Word, PDF etc.) |
|--|------------------|--|
| Evidence of the type of legal entity is submitted (1.2) | | |
| Organisation Chart (2.3) | | |
| Documentation on Collaboration and Partnerships e.g. contracts, memorandum of understanding (2.4) | | |
| Documentation relevant to financial viability and resources (3.1) | | |
| Public Liability Insurance Details (3.2) | | |
| Current eTax Clearance Confirmation (3.3) | | |
| The statutory declaration has been signed by the Owner, Director or Principal Executive Officer of the Applicant and witnessed by an authorised person (5) | | |
| Draft QA procedures | | |

I understand that an application submitted without the required documentation and payment of the appropriate fee will be considered incomplete and returned to me.

Signature: _____

Title: _____

Date: _____



Section 6 Mapping of application documentation to capacity criteria

If you have completed the gap analysis tool and satisfied yourself that the capacity criteria are sufficiently met, please complete the table below with the findings of your gap-analysis. The information supplied in answer to each question should make clear for the panel:

- that your gap-analysis has satisfactorily shown that this particular question can be answered positively or that specific and dated actions are in place to address it.
- where a process is involved, how that process is carried out
- what documentation addresses the question and where in the application (document title, section and page no.) that documentation can be found.



Legal and compliance criteria:

| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of evidence / process | Where evidenced (Document) | Page Number / Reference |
|---|---------------------------------------|--|--|-----------------------------------|--------------------------------|
| <i>2.1a. Is the legal status of the provider fully clear?</i> | | | | | |
| <i>2.1b. Is it clear where ultimate responsibility for decision making lies in the organisation in respect of programmes of education and training?</i> | | | | | |
| <i>2.1c. Are all collaborations / partnership arrangements currently in place, fully known and subject to governance?</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of evidence / process | Where evidenced (Document) | Page Number / Reference |
|---|---------------------------------------|--|--|-----------------------------------|--------------------------------|
| <i>2.1d. Is it clear in all cases what are the legal obligations arising from participation in a collaborative arrangement – e.g. health & safety, child protection, information, GDPR etc.</i> | | | | | |
| <i>2.1e. Are there opportunities to integrate quality assurance best practices used for the various awarding bodies into a single system?</i> | | | | | |

Resource, governance and structural criteria:

| <i>Gap-analysis question</i> | <i>Gap. Anal. Satisfactory (Y/N)?</i> | <i>If not fully satisfactory, identify action(s) planned and date(s)</i> | <i>Summary description of evidence / process</i> | <i>Where evidenced (Document)</i> | <i>Page Number / Reference</i> |
|---|---------------------------------------|--|--|-----------------------------------|--------------------------------|
| <p><i>2.2a. Where is the adequacy of resources for current education and training provision considered and managed within the organisation?</i></p> | | | | | |
| <p><i>2.2b. Where is risk considered and managed within the organisation? Is there a risk register?</i></p> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of evidence / process | Where evidenced (Document) | Page Number / Reference |
|---|---------------------------------------|--|--|-----------------------------------|--------------------------------|
| <i>2.2c. Is the rationale for providing QQI validated programmes, with the financial, time and human costs associated, clear and fully understood?</i> | | | | | |
| <i>2.2d. How are corporate and academic governance issues kept separate when deciding on resource and other financially impactful issues relating to validated or new programmes?</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of evidence / process | Where evidenced (Document) | Page Number / Reference |
|---|---------------------------------------|--|--|-----------------------------------|--------------------------------|
| <p>2.2e. Can you explain how you would demonstrate that a current programme is financially viable? Are the information sources available to do this analysis? Who monitors income and expenditure on programmes and where does it get reported?</p> | | | | | |
| <p>2.2f. Where is a decision taken on whether to propose a new programme for validation? 2.2g. Where is cost / benefit analysis considered in the process?</p> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of evidence / process | Where evidenced (Document) | Page Number / Reference |
|---|---------------------------------------|--|--|-----------------------------------|--------------------------------|
| <i>2.2h. What legislation and regulations applies to your organisation as a provider of education and training?</i> | | | | | |
| <i>2.2i. How do you know that the organisation complies with all relevant legislation and regulations?</i> | | | | | |



Programme development and provision criteria:

| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of evidence / process | Where evidenced (Application Document) | Page Number / Reference |
|---|---------------------------------------|--|--|---|--------------------------------|
| <i>2.3a. If asked, how would you demonstrate that the organisation meets a provider's legal obligations relating to access, transfer and progression?</i> | | | | | |
| <i>2.3b. If relevant, do you have confidence in your current arrangements for Protection for Enrolled Learners, if such arrangements were called on?</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of evidence / process | Where evidenced (Application Document) | Page Number / Reference |
|---|---------------------------------------|--|--|---|--------------------------------|
| <i>2.3c. Have the implications for your programme development process arising from the QQI Policies and Criteria for Validation of Programmes 2016 been addressed in your quality assurance procedures?</i> | | | | | |
| <i>2.3d. Is staffing an agenda item at any governance or review group?</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of evidence / process | Where evidenced (Application Document) | Page Number / Reference |
|---|---------------------------------------|--|--|---|--------------------------------|
| <p>2.3e. <i>If you use contract staff, have you taken steps to ensure their availability when needed? Do you have contingency measures to cater for situations where a tutor/lecturer is not available?</i></p> | | | | | |
| <p>2.3f. <i>Where and how is the adequacy of premises, facilities and resources for education and training provision considered?</i></p> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of evidence / process | Where evidenced (Application Document) | Page Number / Reference |
|---|---------------------------------------|--|--|---|--------------------------------|
| <i>2.3g. Have the QQI Guidelines for Blended Learning (BLGs) been incorporated into your programme development and governance processes, if relevant?</i> | | | | | |

Section 7 Mapping of updated QA Procedures to relevant QQI Guidelines

If you have completed the gap analysis tool and satisfied yourself that your quality assurance procedures have been updated to align with the relevant QQI Guidelines, please complete the table below to provide a mapping for the panel between the quality assurance guidelines and your quality assurance procedures.

While the detail of your various quality assurance processes will be in the procedure documentation / QA manual, the table should provide a summary overview for the panel of how the processes operate and where to find the detail when they need to.

The information supplied in answer to each question should make clear for the panel:

- that your gap-analysis has satisfactorily shown that this particular question has been considered and can be answered positively or that specific and dated actions are in place to address it.
- what relevant quality assurance procedure / structure is in place and (briefly) how that procedure / structure operates.
- where in the application (document title, section and page no.) that procedure / structure can be found.



Core Guidelines 1 GOVERNANCE AND MANAGEMENT OF QUALITY

| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|---|---------------------------------------|--|---|--|--------------------------------|
| <i>CG1a. Have you prepared a graphic summary of how your operational and governance structures and processes interrelate? e.g. does it show the process of programme development from original idea to final approval prior to submission for validation?</i> | | | | | |
| <i>CG1b. Are there clear terms of reference / role descriptions for all committees / individuals represented on the graphic?</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|--|---------------------------------------|--|---|--|--------------------------------|
| <i>CG1c. Are the resources given to governance / quality assurance proportionate to the details set out in the terms of reference and responsibilities?</i> | | | | | |
| <i>CG1d. Do the terms of reference include regular consideration of reports on programme quality: - e.g. enrolment, learner feedback, staff feedback, outcomes, resources, development etc</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|--|---------------------------------------|--|---|--|--------------------------------|
| <p><i>CG1e. Where your organisation's scale is such that it cannot support internal committees for governance, are there alternative arrangements in place to provide (i) informed, independent oversight of significant decisions and (ii) constructive analysis of information gained through internal and external monitoring and review?</i></p> | | | | | |
| <p><i>CG1f. Is it clear where responsibility for the quality assurance system within the organisation lies?</i></p> <p><i>Does this role have clear support from senior management / owners of the organisation? e.g. is there a budget or specific job specs for QA activities?</i></p> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|--|---------------------------------------|--|---|--|--------------------------------|
| <i>CG1g. How are decisions affecting the conduct of programmes and services recorded and communicated to those who need to implement them?</i> | | | | | |
| <i>CG1h. Where are corporate and / or academic risks identified and addressed?</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|---|---------------------------------------|--|---|--|--------------------------------|
| <i>CG1i. Do you know of situations where commercial and academic considerations may conflict? How do you ensure that decisions on education and training matters are made independently of commercial considerations?</i> | | | | | |
| <i>CG1j. Is there systematic oversight of assessment outcomes and trends in the provider? How would this result in change where it is deemed necessary?</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|---|---------------------------------------|--|---|--|--------------------------------|
| <i>CG1k. If blended learning is current or planned for your organisation, is there an organisational level strategy and plan for same? (Ref 3.1 BLGs)</i> | | | | | |
| <i>CG1l. Are the expertise and resources available necessary to delivered blended learning programmes in a quality assured manner? (Sections 4 BLGs)</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|--|---------------------------------------|--|---|--|--------------------------------|
| <i>CG1m. If you have current or planned apprenticeship programmes, are the necessary governance structures in place to manage the collaborative arrangements? Ref Sections 3 and 4 Apprenticeship Guidelines (AGs)</i> | | | | | |
| <i>CG1n. Is it clear in the documentation how ongoing monitoring of processes will be carried out i.e. by whom, how often, what method, what indicators would be sought, how recorded?</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|--|---------------------------------------|--|---|--|--------------------------------|
| <i>CG1o. Is it clear in the documentation how internal evaluations / reviews of programme validation or effectiveness of QA will be carried out i.e. by whom, how often, what method, what indicators would be sought, how recorded?</i> | | | | | |
| <i>CG1p. Is it clear how the findings of monitoring and reviews will be reported to governance and how acted on where required?</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|---|---------------------------------------|--|---|--|--------------------------------|
| <i>CG1q. Is it clear how staff are made aware of the provider's quality assurance system and of their role and responsibilities within it?</i> | | | | | |
| <i>CG1r. Is it clear how learners are made aware of the provider's quality assurance system and of their responsibilities and entitlements within it?</i> | | | | | |



Core Guidelines 2 DOCUMENTED APPROACH TO QUALITY

ASSURANCE

| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|---|---------------------------------------|--|---|--|--------------------------------|
| <i>CG2a. Where/how can your documented quality assurance system be accessed? Is it available to all who need to access it in a manner appropriate to their needs? e.g. how does a learner know how to make a grade appeal? How does a staff member how to process a grade appeal?</i> | | | | | |
| <i>CG2b. Do learner and staff handbooks provide or point to the policies and procedures with most relevance to these audiences?</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|--|---------------------------------------|--|---|--|--------------------------------|
| <i>CG2c. Have the quality assurance procedures been updated to reflect all relevant QQI Guidelines? e.g. if you have a blended learning programme, have you updated your procedures with reference to the Blended Learning Guidelines?</i> | | | | | |
| <i>CG2d. Does the QA system address the additional responsibilities for oversight of contracted or collaborative provision?</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|--|---------------------------------------|--|---|--|--------------------------------|
| <i>CG2e. Has senior management agreed that your organisation's quality assurance procedures, one approved by QQI, will be published on your website?</i> | | | | | |
| <i>CG2f. Is it clear how QA procedures and processes can be amended to reflect experience and changing contexts? Who has responsibility and oversight of this?</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|--|---------------------------------------|--|---|--|--------------------------------|
| <i>CG2g. Does your quality assurance system for QQI validated programmes of education and training integrate with the management of other quality / legislative / regulatory responsibilities you have e.g. Health & Safety, Employment, Child Protection, Finance, Human Resources, other awarding or accrediting bodies?</i> | | | | | |

**Core Guidelines 3 PROGRAMMES OF EDUCATION AND TRAINING**

| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|--|---------------------------------------|--|---|--|--------------------------------|
| <i>CG3a. Are the obligations arising from QQI's Policies and Criteria for Validation of Programmes included in your procedures for programme development, approval and review?</i> | | | | | |
| <i>CG3b. Do the procedures make clear that your programmes will:</i> <ul style="list-style-type: none">• <i>be written using learning outcomes</i>• <i>be developed based on evidenced need</i>• <i>align with the relevant award standards</i>• <i>be subject to internal evaluation and approval prior to submission for validation</i>• <i>comply with requirements of Access, Transfer & Progression</i>• <i>be subject to ongoing monitoring and periodic review</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|---|---------------------------------------|--|---|--|--------------------------------|
| <i>CG3c. If your programmes will incorporate blended learning, have you incorporated the relevant quality assurance guidelines relating to programme design, structure, assessment etc. (Ref. Section 4, BLGs)?</i> | | | | | |
| <i>CG3d. If learners enrolled on any of your programmes will spend a significant amount of time on work placement, is the selection, monitoring and support of workplace provision and assessment covered by your procedures?</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|---|---------------------------------------|--|---|--|--------------------------------|
| <p><i>CG3e. Are statistics on learner enrolments, retention, completion and progression monitored and reported on? How is this information captured and stored?</i></p> | | | | | |
| <p><i>CG3f. Are the resources required for programmes – human, financial, physical, ICT etc – regularly monitored and reported on?</i></p> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|---|---------------------------------------|--|---|--|--------------------------------|
| <i>CG3g. What are the qualitative and quantitative indicators of quality used for your programmes i.e. in reviewing the programme, what measures do you use to evaluate its success or otherwise?</i> | | | | | |
| <i>CG3h. Do you benchmark programme indicators against comparable providers?</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|--|---------------------------------------|--|---|--|--------------------------------|
| <i>CG3i. Is the process for amending programmes based on monitoring / review clear and documented?</i> | | | | | |
| <i>CG3j. Is information about programmes subject to internal approval prior to publication?</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|---|---------------------------------------|--|---|--|--------------------------------|
| <i>CG3k. Is recognition of prior non-certified learning (RPL) offered to learners? If so, is this process documented and monitored for consistency?</i> | | | | | |

**Core Guidelines 4 STAFF RECRUITMENT, MANAGEMENT AND DEVELOPMENT**

| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|---|---------------------------------------|--|---|--|--------------------------------|
| <i>CG4a. Are there clear selection criteria and development processes in place to ensure that new and current staff will have the experience, qualifications and expertise appropriate to the scope of provision?</i> | | | | | |
| <i>CG4b. Is it clear how programme needs are incorporated into recruitment processes?</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|---|---------------------------------------|--|---|--|--------------------------------|
| <i>CG4c. Is it clear how staff development needs are identified and addressed?</i> | | | | | |
| <i>CG4d. Do staff have structured and clear mechanisms to give feedback and suggestions for programme improvements?</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|--|---------------------------------------|--|---|--|--------------------------------|
| <p><i>CG4e. Where using self-employed tutors/lecturers who may also work with other providers, what arrangements / contingencies are in place to ensure:</i></p> <ul style="list-style-type: none">• <i>availability of tutors/lecturers when needed</i>• <i>involvement of tutors/lecturers in programme team meetings and in programme development and review processes?</i>• <i>tutors/lecturers are informed of issues relating to their programme areas</i>• <i>staff development issues are addressed</i> | | | | | |
| <p><i>CG4f. For blended learning programmes, are staff properly inducted and trained for the role(s) in on line learning?</i></p> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|--|---------------------------------------|--|---|--|--------------------------------|
| <i>CG4g. Is it clear how the staff management and development is quality assured where the staff are employees of collaborating providers or second providers?</i> | | | | | |
| <i>CG4h. Are staff facilitated to engage with a community of practice in their field(s) of learning?</i> | | | | | |

**Core Guidelines 5 TEACHING AND LEARNING**

| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|---|---------------------------------------|--|---|--|--------------------------------|
| <i>CG5a. Is there an approach to effective teaching and learning, appropriate to your programmes, which underpins programme development and delivery? Is there a policy on Teaching and Learning which communicates this?</i> | | | | | |
| <i>CG5b. Is the quality of the learning experience monitored on an on-going basis? How are learner feedback questionnaires designed to provide useful information? How is the information gained from this monitoring used in subsequent programme development and improvement?</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|--|---------------------------------------|--|---|--|--------------------------------|
| <i>CG5c. How do you recognise good quality learning experiences?</i> | | | | | |
| <i>CG5d. Are blended learning materials and media developed with a view to support effective teaching, learning and assessment? Is this monitored? (Ref 4.1, 4.2 BLGs)</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|---|---------------------------------------|--|---|--|--------------------------------|
| <i>CG5e. Are Work Placements and Work Based Learning monitored to ensure that effective teaching and learning can take place?</i> | | | | | |
| <i>CG5f. How are the diverse needs of learners identified and facilitated? Give examples of diversity that you can and cannot facilitate.</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|---|---------------------------------------|--|---|--|--------------------------------|
| <i>CG5g. How are staff supported to improve their teaching and assessment skills?</i> | | | | | |
| <i>CG5h. Are there criteria for checking the suitability of potential venues as effective teaching and learning environments?</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|--|---------------------------------------|--|---|--|--------------------------------|
| <i>CG5i. How will learners know how to make a complaint should they need to? Is the procedure for handling complaints documented and approved?</i> | | | | | |



Core Guidelines 6 ASSESSMENT OF LEARNERS

| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|--|---------------------------------------|--|---|--|--------------------------------|
| <i>CG6a. Are the areas of potential vulnerability in your quality assurance of assessment known in the organisation?</i> | | | | | |
| <i>CG6b. Are the systems to promote security in assessment – materials, processes, learner work and records, in place and monitored for effectiveness?</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|---|---------------------------------------|--|---|--|--------------------------------|
| <i>CG6c. Are there policies in place for informing and governing the conduct of assessment – from programme development to learner appeals?</i> | | | | | |
| <i>CG6d. Are the outcomes of assessment, formative and summative, used to inform learners' progress?</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|--|---------------------------------------|--|---|--|--------------------------------|
| <i>CG6e. How do you know how your award outcomes and other programme data compare with those of other providers operating in the same area, nationally or internationally?</i> | | | | | |
| <i>CG6f. How is the learning from results approval panel / exam board meetings used to inform and improve future practice?</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|---|---------------------------------------|--|---|--|--------------------------------|
| <i>CG6g. Are there approval processes for new assessment instruments?</i> | | | | | |
| <i>CG6h. How is assessment of skills quality assured when carried out in an 'on the job' setting?</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|--|---------------------------------------|--|---|--|--------------------------------|
| <i>CG6i. How is assessment of skills quality assured on blended learning programmes?</i> | | | | | |



Core Guidelines 7 SUPPORTS FOR LEARNERS

| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|--|---------------------------------------|--|---|--|--------------------------------|
| <i>CG7a. Is it clear what supports are available to learners and how they are accessed? (Ref 7.1. Core Guidelines, 5.1 Blended Learning Guidelines, Section 5 Apprenticeship Guidelines)</i> | | | | | |
| <i>CG7b. Are particular supports made available to international learners?</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|--|---------------------------------------|--|---|--|--------------------------------|
| <i>CG7c. Are particular supports made available to learners with disabilities?</i> | | | | | |
| <i>CG7d. Is there a role with overall responsibility for coordinating the various learner supports and monitoring their effectiveness?</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|--|---------------------------------------|--|---|--|--------------------------------|
| <i>CG7e. Are learner representatives encouraged / facilitated to be involved in quality assurance processes?</i> | | | | | |
| <i>CG7f. Are questions in respect of the availability and adequacy of supports included in learner satisfaction surveys?</i> | | | | | |



Core Guidelines 8 INFORMATION AND DATA MANAGEMENT

| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|---|---------------------------------------|--|---|--|--------------------------------|
| <i>CG8a. Does your information management system provide management information reports relevant to programme review and evaluation and for external monitoring by QQI?</i> | | | | | |
| <i>CG8b. Do the terms of reference of the governance committees at various levels specify what information / reports / indicators need to be supplied for review?</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|---|---------------------------------------|--|---|--|--------------------------------|
| <i>CG8c. Are there support arrangements in place to ensure the security and sustainability of information systems?</i> | | | | | |
| <i>CG8d. Are there data protection procedures in place to ensure that data is managed securely and that data relating to learner assessment is accurate and complete.</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|--|---------------------------------------|--|---|--|--------------------------------|
| <i>CG8e. How do information systems support the ongoing operation of quality assurance and monitoring? Are there tracking systems? Who has access?</i> | | | | | |



Core Guidelines 9 PUBLIC INFORMATION AND COMMUNICATION

| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|--|---------------------------------------|--|---|--|--------------------------------|
| <i>CG9a. Is there a policy governing what information is published about validated programmes? (Ref Section 9.1, 9.2 CGLs)</i> | | | | | |
| <i>CG9b. Is programme information approved for accuracy prior to publication in hard copy or on websites?</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|---|---------------------------------------|--|---|--|--------------------------------|
| <i>CG9c. Is there a commitment to publish quality assurance evaluation reports which the provider has carried out?</i> | | | | | |
| <i>CG9d. If you are collaborating in any way with another provider in the delivery of a programme, does all programme information make clear which provider has the validated programme and, therefore, responsibility for quality assurance?</i> | | | | | |

**Core Guidelines 10 OTHER PARTIES INVOLVED IN EDUCATION AND TRAINING**

| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|---|---------------------------------------|--|---|--|--------------------------------|
| <i>CG10a. If you are collaborating in any way with another provider in the delivery of a programme, is it clear which provider owns the validated programme and, therefore, has responsibility for quality assurance?</i> | | | | | |
| <i>CG10b. Where you are the owner of a validated programme which requires the collaboration of another provider, are there documented agreements in place setting out respective responsibilities in respect of delivery, assessment and quality assurance?</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|--|---------------------------------------|--|---|--|--------------------------------|
| <i>CG10c. Are there arrangements in place for consultation with employers in respect of programme outcomes and content during programme development?</i> | | | | | |
| <i>CG10d. Are there arrangements in place for consultation with other providers in respect of transfer and progression options during programme development?</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|--|---------------------------------------|--|---|--|--------------------------------|
| <i>CG10e. Have you established criteria and processes for appointing persons of appropriate expertise to act in the role of independent authenticator / evaluator / evaluator as required?</i> | | | | | |



Core Guidelines 11 SELF-EVALUATION, MONITORING AND REVIEW

| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|--|---------------------------------------|--|---|--|--------------------------------|
| <i>CG11a. Are the purpose(s), responsibilities, processes, outcomes and oversight of monitoring documented and communicated?</i> | | | | | |
| <i>CG11b. Is it clear how the results of monitoring are used to maintain and improve quality of programmes and services?</i> | | | | | |



| Gap-analysis question | Gap. Anal. Satisfactory (Y/N)? | If not fully satisfactory, identify action(s) planned and date(s) | Summary description of procedure / structure | QA Procedure (Application Document) | Page Number / Reference |
|--|---------------------------------------|--|---|--|--------------------------------|
| <p><i>CG11c. How has self-evaluation been incorporated as an essential part of all QQI related quality assurance activities?</i></p> <p><i>Is there a documented process for self-evaluations?</i></p> | | | | | |

Summary: *Please use this section to give an honest overview of where your organisation is at in respect of the guidelines above. Please identify where there are shortcomings at present and state what you are doing to address them.*

Signed: _____

Print name: _____

Job Title: _____

Date: _____

Annexe 1: Documentation accompanying this report

| Document | Related to |
|----------|------------|
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |

